

08 - 30 - 01

A

08/29/01
J1046 U.S. PTO
09/941877

Practitioner's Docket No. RPS920010122US1
Customer No.: 25299

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application
Assistant Commissioner for Patents
Washington, D.C. 20231

J1046 U.S. PTO
09/941877
08/29/01

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s): Robert T. Cato; Phuc Ky Do; Eugene Michael Maximilien;

For (title): METHOD AND SYSTEM FOR AUTOMATIC BROKERED TRANSACTIONS

1. Type of Application

This transmittal is for an original (nonprovisional) application.

CERTIFICATION UNDER 37 C.F.R. SECTIONS 1.8(a) AND 1.10*

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

37 C.F.R. Section 1.8(a)

37 C.F.R. Section 1.10*

☐ with sufficient postage as first class mail.

☒ as "Express Mail Post Office to Address"
Mailing Label No. EL 888549777 US
(mandatory)

TRANSMISSION

☐ transmitted by facsimile to the Patent and Trademark Office (703) _____

Date: 8-29-01

Signature

Amirah Scarborough

(type or print name of person certifying)

RPS920010122US1

Page 1 of 4

2. **Papers Enclosed**

A. Required for filing date under 37 C.F.R. 1.53(b) (Regular) or 37 C.F.R. 1.153 (Design) Application

14 Page(s) of Specification

18 Page(s) of Claims

5 Sheet(s) of Drawing(s)--Formal

B. Other Papers Enclosed

2 Page(s) of declaration and power of attorney

1 Page(s) of abstract

3. **Additional Papers Enclosed**

Information Disclosure Statement (37 C.F.R. 1.98)

Form PTO-1449 (PTO/SB/08A and 08B)

4. **Assignment**

An assignment of the invention to **International Business Machines Corporation; Armonk, NY** is attached. A separate "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION" is also attached.

5. Fee Calculation (37 C.F.R. Section 1.16)

Regular Application

CLAIMS AS FILED

Claims	Number Filed	Basic Fee Allowance	Number Extra	Rate	Basic Fee 37 CFR 1.16(a) \$710.00
Total Claims	54	20	34	\$18.00	\$612.00
Independent Claims	5	3	2	\$80.00	\$160.00
Multiple Dependent Claims					\$0.00
Filing Fee Calculation					\$1,482.00

6. Fee Payment Being Made at This Time

Enclosed

Filing Fee \$1,482.00

Recording assignment (\$40; 37 C.F.R. Section 1.21(h)) (See \$40.00
attached "COVER SHEET FOR ASSIGNMENT ACCOMPANYING
NEW APPLICATION".)

Total Fees Enclosed \$1,522.00

7. Method of Payment of Fees

Charge Account No. 09-1990 in the amount of \$1,522.00.

A duplicate of this transmittal is attached.

8. Authorization to Charge Additional Fees

The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Account No. 09-1990.

37 C.F.R. Section 1.16(a), (f) or (g) (filing fees)

37 C.F.R. Section 1.16(b), (c) or (d) (presentation of extra claims)

9. Instructions as to Overpayment

Credit Account No. 09-1990.

Date:

8/29



J. Bruce Schelkopf
Registration No. 43,901
IBM Corporation
Dept. 9CCA/002-2
P. O. Box 12195
Research Triangle Park, NC 27709-2195
919-543-4753
Customer No. 25299

106280 24874660